

Date of Approval: 08/23/2024
Questionnaire Number: 1500

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Enrolled Agent Special Enrollment Examination Cust Sat Survey

Business Unit

Return Preparer Office

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

The IRS Return Preparer Office's (RPO) mission is to improve taxpayer compliance by providing comprehensive oversight and support of tax professionals. The RPO oversees registration, testing, and suitability of Enrolled Agents (EA) and EA candidates. EAs, like attorneys and Certified Public Accountants (CPA), have unlimited practice rights to represent taxpayers before the IRS. This means they are unrestricted as to which taxpayers they can represent, what types of tax matters they can address, and which IRS offices they can represent taxpayers before. The survey consists of 10 questions which measure the tax return preparers that are taking the Special Enrollment Examination to become Enrolled Agents' satisfaction with their testing experience and provides an opportunity to submit feedback. This allows the Competency & Standards department to review test content and services to make Program improvements. Survey feedback is also used, in part, to evaluate the Contractor's performance. The survey participants are anonymous, and only aggregated responses will be provided to the IRS.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

Enrolled Agent candidates verbally give their name and show their driver's license when arriving at the Prometric test center. It is done pre-survey to confirm identity of the candidate. The ID is not used or stored; it is only visually verified to authenticate the candidate. When a candidate enters the testing lab and is seated at their computer, they verify their name on the screen. and verify the exam part they are there to take. At the end of each exam session a voluntary survey is presented to the user, and it pushed automatically at the end of the exam and a candidate elects to take the survey or end their session. A candidate can take the exam more than once (if they fail) and the survey is presented to them at the end of each testing session.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Name

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

Product Information (Questions)

1.1 Is this survey a result of the Inflation Reduction Act (IRA)?

No

1.13 What is your research method(s) used (i.e., survey, telephone interview, focus group, etc.)?

Survey

1.14 Is this a new survey, telephone interview, focus group, or usability testing?
Throughout the rest of this questionnaire, we will use the term "survey" to include all of these.

No

1.15 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this survey?

Yes

1.16 Enter the full name of the most recent PCLIA.

Enrolled Agent Special Enrollment Examination Customer Satisfaction Survey

1.17 Enter the PCLIA number of the most recent PCLIA.

Survey PCLIA ID Number: 3719

1.18 What are the reasons for the change?

Current PCLIA getting ready to expire on 10/19/2024.

1.19 Which Business Unit (BU) is requesting this survey?

Return Preparer Office

1.21 Who will the survey be administered to?

External Survey (Taxpayers or Others)

1.22 Will the survey be administered annually (3-year expiration)?

Yes

1.22 Is this a reoccurring survey?

Yes

1.22 What is the start date?

10/19/2024

1.23 What is the end date?

10/19/2027

2.11 Will the survey capture any type of PII or is PII (names, addresses, email addresses, etc.) used to select participants?

Candidates give their name and show ID when they arrive at the test center to confirm their identity pre-survey. The information is not stored but used to visually authenticate the candidate.

2.12 If any PII data is collected, disclosed, or studied on individuals who choose not to participate, please describe the data.

No

2.13 List any linkable data that the survey uses, collects, receives, displays, stores, maintains, or disseminates (gender, ethnicity, parts of address, tax filing information, etc.) or uses to select participants?

The targeted participant is an enrolled agent candidate who completed one or more of the three required EA Exams. The linkable data declared here matches the PII elements; it is required but limited to pre-survey activities, i.e. the selection of the targeted participant. The PII elements used to verify the identity

of an enrolled agent (their first name and their picture ID); are by default the elements used by this survey, to offer or push the invite to the survey to participants. (The EA exam tool is the source of known data elements.) Without these elements the notice/invite could not be made; therefore, the following elements are declared as used by the survey; the first name, Internet Protocol (IP) Address, and Biometric Information, which includes Geographical Indicators and Personal Characteristics; these elements are not captured; they are presented in-person with visual confirmation; therefore, this data is not stored. Sensitive data is identified but cannot be associated to a specific individual's response, nor is it required in post survey activities.

2.14 Explain how the participants are selected. Include a detailed description. Please provide your research plan as supporting documentation.

The targeted participant is an enrolled agent candidate who completed one or more of the three required EA Exams. Survey participants are Enrolled Agent candidates taking a SEE exam in a Prometric test center. No one else is offered the survey. Upon completion of the exam (each time the candidate takes an exam) they are asked at the end of the 100-question test if they have completed the exam or would like to go back and review any questions. Once the candidate selects that they have completed the exam, the exam status changes to complete and at that point the system knows to offer the voluntary survey.

2.15 How are the participants notified (letter, postcard, email, etc.) of the survey, and if the survey is voluntary/optional, how is notice given? If it is not voluntary, please explain why it is mandatory.

Upon completion of the computer-based examination, a screen displays that reads: "Your examination session is completed. Please respond to the brief exit survey. Your feedback is important to us. This survey is voluntary and should take approximately three minutes. Survey participants will remain anonymous." Examinees must click one of two radio buttons: "Exit" or "Continue to Survey". Your examination session is completed. Please respond to the brief exit survey. Your feedback is important to us. This survey is voluntary and should take approximately three minutes. Our authority for requesting information for this survey is 5 U.S.C. Section 301, and 26 U.S.C. Sections 7801, 7803, and 7805. The primary purpose of the survey is to measure satisfaction with your testing experience and provide you an opportunity to submit feedback. This allows the IRS Competency & Standards department to review test content and services to make program improvements. IRS intends your responses to be used for research and aggregate reporting purposes and not for non-statistical or non-research purposes. The information might be disclosed when authorized by law to the Government Accountability Office for that office to perform required oversight of the Internal Revenue Service. The information that you provide will be protected as required by law. Providing the information is voluntary; not providing all or part of the information requested will have no impact on you but may reduce our ability to improve the testing experience. The Paperwork Reduction Act requires that the IRS display an OMB control number on all public information requests

along with the address where you can send comments regarding the study. “The OMB number for this study is 1545-1432. If you have any comments regarding this study, please write to: IRS, Special Services Committee, SE:W:CAR:MP:T:M:S - Room 6129, 1111 Constitution Avenue, NW, Washington, DC 20224.”

3.11 What tool(s) is/are used to conduct the survey? Please indicate if the anonymous feature has been set for the survey, if applicable.

Web-based survey - yes, anonymous feature is set. www.Prometric.com The survey is created in the Contractor's testing system, a proprietary system that is reviewed annually as part of IRS' Contractor Security Assessment (CSA).

3.12 Will the survey be audio-recorded or video-recorded?

No

4.11 Does this survey retrieve information by any personal identifier for an individual who is a U.S. citizen, or an alien lawfully admitted for permanent residence? If the answer is Yes, you must have at least one SORN name and number selected in the SORNs section.

No

4.12 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records to inform each individual requested to supply information about themselves. Do survey participants provide information about themselves?

Yes

4.13 Please provide the Privacy Act Statement.

C. Privacy Act & System of Records Notice

The Privacy Act requires Federal agencies that maintain a system of records to publish systems of records notices (SORNs) in the Federal Register for records from which information is retrieved by any personal identifier for an individual who is a US citizen, or an alien lawfully admitted for permanent residence. The Privacy Act also provides for criminal penalties for intentional noncompliance.

4.14 Does the IRS administer (conduct) the survey?

No - Prometric, LLC the contracted vendor administers the survey.

4.15 Provide the name of the IRS office administering the survey.

Return Preparer Office - Competency & Standards (C&S)

4.18 Does the IRS perform analysis of the survey results?

Yes

4.19 Provide the name of the IRS office performing the analysis of the survey.

Return Preparer Office - Competency & Standards (C&S)

4.21 If a contractor administers (conducts) and analyzes the survey, is all work performed and contained in the United States?

Yes

4.22 How does the administrator of the survey protect employees' or taxpayers' SBU/PII from compromise, loss, theft, or disclosure?

Candidates provide their name and show ID when they arrive at the test center.

The information is not stored. It is used to authenticate the candidate. The voluntary survey is pushed to each candidate at the end of their exam session.

4.23 Where and how is the PII stored and protected?

Candidates provide their name and show ID when they arrive at the test center.

The information is not stored. It is used to authenticate the candidate. The voluntary survey is pushed to each candidate at the end of their exam session.

4.24 Provide the Cyber Security approved security and encryption used when data is transferred electronically from the IRS to contractors and back to the IRS.

IRS does not transmit data to the Contractor. The Contractor provides Competency & Standards a monthly aggregate report of survey data that does not include PII through a secure web-based portal. This portal is reviewed annually as part of IRS' Contractor Security Assessment (CSA).

4.25 How is the survey PII protected and stored when it is housed at a contractor site on contractor computers? Provide a detailed explanation of the physical and electronic security and protection of the data before, during and after the survey.

No PII elements are collected. Aggregate survey results are shared with the IRS in a monthly Excel file. The file is uploaded to Prometric's SecureShare2 system and IRS has access and retrieves it from there. Info on system included in the Data Location section.

4.26 Has a Contracting Officer or Contracting Officer's Representative (COR) verified the contract included privacy and security clauses for data protection and that all contractors have signed non-disclosure agreements which are on file with the COR?

Yes

4.27 Identify the roles and their access level to the PII data.

Contractor Users, Contractor Managers, Contractor Developers, Contractor Sys. Admin. do not have access to PII.

4.28 Explain the precautions taken to ensure the survey results will not be used for any other purpose not listed in the Detailed Business Purpose and Need section and to ensure that employees or taxpayers who participate in the survey cannot be identified or re-identified under any circumstances and no adverse actions taken.

C&S will continue to the practice of not sharing survey results. Survey participants responses are anonymous, and the results are anonymous.

4.29 Does the administrator of the survey have access to information identifying participants?

No

5.11 For employee or taxpayer satisfaction surveys explain how you have ensured that no "raw" or unaggregated employee or taxpayer data will be provided to any IRS office.

No

5.13 Does the individual about whom the information was collected or maintained expressly authorize its collection/maintenance?

Yes

5.14 If the First Amendment information will be used as the basis to make any adverse determination about an individual's rights, benefits, and/or privileges, explain the determination process. Consult with IRS General Legal Services to complete this section.

Yes

Interfaces

Interface Type

IRS or Treasury Contractor

Agency Name

Prometric, LLC

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Other

Other Transfer Method

Prometric posts an Excel file of aggregate survey results to SecureShare2 an internal secure system.

Interface Type

IRS or Treasury Contractor

Agency Name

IRS RPO SharePoint

Incoming/Outgoing

Both

Transfer Method

Other

Other Transfer Method

RPO C&S stores the aggregate survey results Excel files on SharePoint both pre & post analysis.

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 37.006 - Correspondence, Miscellaneous Records, and Information Management Records

Describe the IRS use and relevance of this SORN.

Our authority for requesting information for this survey is 5 U.S.C. Section 301, and 26 U.S.C. Sections 7801, 7803, and 7805. The primary purpose of the survey is to measure satisfaction with your testing experience and provide you an opportunity to submit feedback. This allows the IRS Competency & Standards department to review test content and services to make Program improvements. IRS intends your responses to be used for research and aggregate reporting purposes and not for non-statistical or non-research purposes. The information might be disclosed when authorized by law to the Government Accountability Office for that office to perform required oversight of the Internal Revenue Service. The information that you provide will be protected as required by law. Providing the information is voluntary; not providing all or part of the information requested will have no impact on you but may reduce our ability to improve the testing experience. The Paperwork Reduction Act requires that the IRS display an OMB control number on all public information requests along with the address where you can send comments regarding the study. "The OMB number for this study is 1545-1432. If you have any comments regarding this study, please write to: IRS, Special Services Committee, SE:W:CAR:MP:T:M:S - Room 6129, 1111 Constitution Avenue, NW, Washington, DC 20224."

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

IRS Tax Practitioner Enrollment, Professional Responsibility &
Agent Practices

What is the GRS/RCS Item Number?

DAA-0058-2015-0002-0001

What type of Records is this for?

Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item.

Competency and Standards Files

Files consist of Work Breakdown Structures (WBS), test-related records, copies of contract documents for the outside vendors who develop and administer the Registered Tax Return Preparer testing program, Enrolled Agent Special Enrollment Examination (EA-SEE) program, and Enrolled Retirement Plan Agent Special Enrollment Examination (ERPA-SEE) program. Also included are files of individuals who applied for the tests.

What is the disposition schedule?

Cut off at the end of the processing year. Destroy when no longer needed for administrative, legal, audit, or other operational purposes but not later than 1 year after cutoff:

Data Locations

What type of site is this?

SharePoint Online (SPO) Collection

What is the name of the SharePoint Online (SPO) Collection?

IRS SharePoint RPO Testing

What is the URL of the item, if applicable?

<https://irs.gov.sharepoint.com/sites/RPOtestingce>

Please provide a brief description of the SharePoint Online (SPO) Collection.

RPO C&S stores the aggregate survey results Excel files on SharePoint both pre & post analysis.

What type of site is this?

System

What is the name of the System?

Prometric's internal secure system - SecureShare2

Please provide a brief description of the System.

Prometric posts a monthly Excel file of aggregate survey results to SecureShare2 an internal secure system. IRS has access and logs in to download the Excel spreadsheet.